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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 1

of 4

**Complete if Known**

|                        |                   |
|------------------------|-------------------|
| Application Number     | 10/086,116        |
| Filing Date            | 2/26/2002         |
| First Named Inventor   | Neff, Roy         |
| Art Unit               | 3691              |
| Examiner Name          | Akintola, Olabode |
| Attorney Docket Number | 69174-5           |

**U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                    | A                     | US- 3573747                              | 4/6/1971                       | Adams, et al.                                      |   |
|                    | B                     | US- 5126936                              | 6/30/1992                      | Champion, et al.                                   |   |
|                    | C                     | US- 5500793                              | 3/19/1996                      | Deming, et al.                                     |   |
|                    | D                     | US- 5592376                              | 1/7/1997                       | Hodroff  |   |
|                    | E                     | US- 5664115                              | 9/2/1997                       | Fraser   |   |
|                    | F                     | US- 5852810                              | 12/22/1998                     | Sotiroff, et al.                                   |   |
|                    | G                     | US- 5857174                              | 1/5/1999                       | Dugan  |   |
|                    | H                     | US- 5926793                              | 7/20/1999                      | DeRafael   |   |
|                    | I                     | US- 6014643                              | 1/11/2000                      | Minton   |   |
|                    | J                     | US- 6029146                              | 2/22/2000                      | Hawkins, et al.                                    |   |
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|                    | L                     | US- 6112189                              | 8/29/2000                      | Rickard, et al.                                    |   |
|                    | M                     | US- 6202051-B1                           | 3/13/2001                      | Woolston   |   |
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|                    |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                    | T                     | WO-9821667  | 5/22/1998                      | Garber   |   |                |
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|                    |                       |   |                                |  |   |                |
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|                    | AH                    | US- 2001/0034663-A1                      | 10/25/2001                     | Teveler, et al.                                    |   |
|                    | AI                    | US- 2001/0049651-A1                      | 12/6/2001                      | Selleck  |   |
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| <b>Art Unit</b>               | 3691              |
| <b>Examiner Name</b>          | Akintola, Olabode |
| <b>Attorney Docket Number</b> | 69174-5           |

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**NON PATENT LITERATURE DOCUMENTS**

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|--------------------|-----------------------|---|----------------|
|                    | AX                    | U.S. Patent Application No. 09/569,135, filed 05/11/2000, "Secure System for Trading Fungible Commodities" (48 pages).  |                |
|                    | AY                    | U.S. Patent Application No. 09/570,562, filed 05/12/2000, "Method and System for Anonymously and Confidentially Matching Contraparties ... of a Transaction" (38 pages).  |                |
|                    | AZ                    | "Mathematical Market Model ... Subjectivity", 12/16/1997, reprinted from <a href="http://www.colorado.edu/Economics/courses/econ2020/6550/readings/mathematical-model.html">www.colorado.edu/Economics/courses/econ2020/6550/readings/mathematical-model.html</a> 5/5/2009 (5 pages). |                |
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